Broadridge®

Simplifying complex corporate actions processing

MAXIMISING BUSINESS OPPORTUNITIES

- **Increased efficiency and reduced complexity** - by standardising and automating processes and data globally

- **Increased scalability** - for processing peaks, new business growth and market growth

- **Reduced operational risk** - particularly in the areas of voluntary corporate actions, coupons and dividends, with our end-to-end solution

- **Global implementation** - multi-asset class, multi-region across multiple business lines (proprietary trading, prime brokerage, etc.)

- **Handles complex trading scenarios** - such as security financing (repo/borrow/loans) and actions associated with products such as synthetics through a single view

Broadridge's automated end-to-end processing solution was designed to address key industry, business and operational challenges. Users benefit from a single global solution delivered across multiple business lines, which provides a hub for operational processing and control and robust data that can be used to power opportunities for the front-office.

ANNOUNCEMENT CAPTURE
Gathered from multiple sources and scrubbed automatically, in real-time; configurable rules and exception-based process creates the 'Golden Record.'

STOCK RECORD
Interfaces with global stock record to determine entitled positions and open transactions.

NOTIFICATIONS
Generated automatically at various points through the event lifecycle; chasers can be sent multiple times prior to deadline; notices can be grouped across associated accounts.

ELECTIONS
Received automatically in real time or entered manually by users; can be configured to require up to 6-eye check: maker/checker/approver.

ENTITLEMENTS, ACCRUALS AND PAYMENTS
Entitlements calculated and accruals released in real time; receivables automatically reconciled to custodians, with exceptions flagged to users.

DASHBOARDS AND REPORTING
Provides a 'processing hub' for the event and real-time consolidated view of key processing-related data across multiple entities and business lines.

WORKFLOW AUTOMATION
Task-based, exception based workflow throughout the event lifecycle.

Communications
Technology
Data and Analytics   **broadridge.com**

Ready for Next